

# **Rule Self-Certification**

# REQUEST FOR CONFIDENTIAL TREATMENT ENCLOSED

October 1, 2012

Office of the Secretary Commodity Futures Trading Commission Three Lafayette Center 1155 21<sup>st</sup> Street, NW Washington, DC 20581

Re: Addenda to Regulatory Services Agreement with NFA Regulatory Services Agreement with the Options Clearing Corporation Reference File SR-NFX-2012- 32

Ladies and Gentlemen:

Pursuant to Section 5c(c)(1) of the Commodity Exchange Act, as amended ("Act"), and Sections 40.6 of the regulations promulgated by the Commodity Futures Trading Commission under the Act, the NASDAQ OMX Futures Exchange, Inc. ("NFX" or "Exchange") is certifying three agreements. NFX anticipates that agreements in substantially the form of the enclosed drafts will be effective on October 17, 2012.

NFX has determined to enter into three agreements to facilitate compliance with the Commission's new Part 38 rules applicable to designated contract markets ("DCMs").

- 1) An Addendum to the existing Regulatory Services Agreement ("RSA") between the Exchange and the National Futures Association dated October 12, 2005.
- 2) An Addendum to Schedule A of the existing RSA between the Exchange and NFA.
- 3) An RSA between the Options Clearing Corporation ("OCC") and the Exchange.

Drafts of the three agreements that are the subject of this filing are attached as Appendix A, for which a request for confidential treatment is being simultaneously submitted to the Commission. A copy of that request for confidential treatment is included with this supplemental filing.

The purpose of the two addenda with NFA is to facilitate compliance by the Exchange with Core Principles 2, 4, 5, 8, 10 and 11, and certain of the Commission's rules thereunder. The

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purpose of the new RSA with OCC is to facilitate compliance by the Exchange with Core Principle 11, and certain of the Commission's rules thereunder.

There were no opposing views among the NFX's Board of Directors, members or market participants. NFX hereby certifies that the enclosed agreements comply with the Commodity Exchange Act and regulations thereunder. The Exchange also certifies that notice of pending certification and a copy of this submission have been concurrently posted on the Exchange's website at http://www.nasdaqomxtrader.com/Micro.aspx?id=PBOToverview.

Regards, R Joseph Cusick Chief Regulatory Officer

cc: Mr. J. Goodwin National Futures Association



### FOIA CONFIDENTIAL TREATMENT REQUEST

October 1, 2012

#### **VIA ELECTRONIC MAIL**

Assistant Secretary for FOI, Privacy and Sunshine Acts Compliance Commodity Futures Trading Commission Three Lafayette Center 1155 21<sup>st</sup> Street, N.W. Washington, D.C. 20581

## Re: Request for Confidential Treatment of NASDAQ OMX Futures Exchange (NFX) filing SR-NFX-2012-32, Appendix A

Dear Sir or Madam:

The NASDAQ OMX Futures Exchange, Inc. ("NFX") hereby requests confidential treatment of the enclosed Appendix A to SR-NFX-2012-32 filed today with the Commission.

This request for confidential treatment is made pursuant to and in accordance with the Freedom of Information Act ("FOIA"), 5 U.S.C. 552, and Commission Rule 145.9, 17 C.F.R. 145.9. Confidential treatment is appropriate because this Appendix A contains trade secrets or confidential commercial information and also would reveal investigatory records compiled for law enforcement purposes when disclosure would interfere with enforcement proceedings or disclose investigative techniques and procedures of NFX. We request confidential treatment of the letter indefinitely. Please contact me at (215) 496-5208 with any questions.

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